

EP Workpaper Summary

Plan Sponsor or Organization Name and Address:		Examination Results				
		Year(s):	Forms(s):	Disposal Code & Description:	Letter(s):	
TIN:		Specialist:			Date:	Time:
File Folder number:	Plan Number:	Reviewer:			Date:	

Indicate with an "X" all completed actions and "N/A" for all items which are "Not applicable".

<input type="checkbox"/> A. Plan/Entity Background	<input type="checkbox"/> L. 415 limits
<input type="checkbox"/> 1. Statute of Limitations Expiration Date	<input type="checkbox"/> M. Distributions
<input type="checkbox"/> 2. Classification Sheet Review	<input type="checkbox"/> N. ESOPs (409)
<input type="checkbox"/> 3. Plan History	<input type="checkbox"/> O. Other Termination Issues
<input type="checkbox"/> 4. Tax Return Information	<input type="checkbox"/> P. Other Issues
<input type="checkbox"/> 5. Administrative Procedures/Interview	<input type="checkbox"/> Q. Tax Liability
<input type="checkbox"/> 6. Plan Document/Qualification	<input type="checkbox"/> 1. 4971
<input type="checkbox"/> 7. Package Examination	<input type="checkbox"/> 2. 4972
<input type="checkbox"/> B. Eligibility/Participation/Coverage	<input type="checkbox"/> 3. 4973
<input type="checkbox"/> 1. 401(a)	<input type="checkbox"/> 4. 4975
<input type="checkbox"/> 2. 410(b)	<input type="checkbox"/> 5. 4979
<input type="checkbox"/> 3. 401(a)(26)	<input type="checkbox"/> 6. 4980
<input type="checkbox"/> C. Vesting (411)	<input type="checkbox"/> 7. Discrepancy adjustments
<input type="checkbox"/> D. Allocation/Accruals (411)	<input type="checkbox"/> 8. Other tax issues
<input type="checkbox"/> 1. Contributions	<input type="checkbox"/> R. Penalties
<input type="checkbox"/> 2. Accruals	<input type="checkbox"/> 1. 6651: Failure to file tax returns
<input type="checkbox"/> 3. Forfeitures	<input type="checkbox"/> 2. 6652(d)(1): Annual registration
<input type="checkbox"/> E. Top-Heavy (416)	<input type="checkbox"/> 3. 6652(d)(2): Status change notice
<input type="checkbox"/> F. Discrimination (401)(a)(4)	<input type="checkbox"/> 4. 6652(e): Failure to file 5500
<input type="checkbox"/> G. 401(k)/401(m)	<input type="checkbox"/> 5. 6690: Statement to participants
<input type="checkbox"/> 1. ADP test	<input type="checkbox"/> 6. 6692: Actual reports
<input type="checkbox"/> 2. ACP test	<input type="checkbox"/> S. Disclosure
<input type="checkbox"/> 3. Multiple use test	<input type="checkbox"/> 1. DOL/Form 6212-B
<input type="checkbox"/> H. 403(b)/SEP/Simple	<input type="checkbox"/> 2. PBGC/Form 6533
<input type="checkbox"/> I. Deduction Limitations (404)	<input type="checkbox"/> 3. Form 2848
<input type="checkbox"/> J. Minimum Funding (412)	<input type="checkbox"/> 4. Written authorization (third parties)
<input type="checkbox"/> K. Trust	<input type="checkbox"/> T. Special Closing Procedures
<input type="checkbox"/> 1. Asset Review/Prohibited Transactions	<input type="checkbox"/> 1. CAP
<input type="checkbox"/> 2. Unrelated Business Taxable Income	<input type="checkbox"/> 2. APRSC
<input type="checkbox"/> 3. Acquisition Indebtedness	<input type="checkbox"/> 3. Referral
<input type="checkbox"/> 4. Bonding	<input type="checkbox"/> 4. Agreed Deficiency
<input type="checkbox"/> 5. Income and Expense	<input type="checkbox"/> 5. Unagreed
<input type="checkbox"/> 6. Fraud	<input type="checkbox"/> 6. Discrepancy adjustments
<input type="checkbox"/> 7. Exclusive	<input type="checkbox"/> U. Other